

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

3621

In re Application of: Manoel (nmi) Tenorio
Serial No. 09/976,750
Filing Date: October 12, 2001
Art Group Unit: 2161
Title: DISPLAYING STRIKES BETWEEN BIDS AND ASKS
IN A MARKET OVER TIME USING POLYGONS

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Willie Jiles

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Date: April 26, 2004

Exp. Mail Receipt No. EV 324649235 US

INFORMATION DISCLOSURE STATEMENT

Applicant respectfully requests, pursuant to 37 C.F.R. §§ 1.56, 1.97 and 1.98, that the references listed on the attached PTO-1449 form be considered and cited in the examination of the above-identified patent application. Copies of these references are enclosed for the convenience of the Examiner. No representation is made that a search has been made, that these references are material to the patentability of the present invention, or that these references qualify as prior art.

This Information Disclosure Statement is submitted before an Office Action on the merits, and therefore, pursuant to 37 C.F.R. § 1.97(b), no fee is believed to be due. If, however, a fee is due, the Commissioner is authorized to charge such fee to Deposit Account No. 02-0384 of Baker Botts L.L.P.

Respectfully submitted,

BAKER BOTTS L.L.P.
Attorneys for Applicant



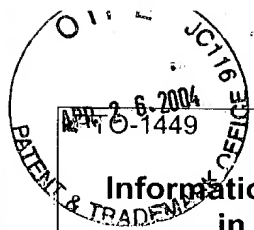
Christopher W. Kennerly
Reg. No. 40,675

Date: April 26, 2004

Correspondence Address:
2001 Ross Avenue, Suite 600
Dallas, Texas 75201-2980
(214) 953-6812

Customer Number

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|--|-----------------|----------------------|------------------|
| Information Disclosure Citation in an Application | Application No. | Applicant(s) | |
| | 09/976,750 | Manoel (nmi) Tenorio | |
| | Docket Number | Group Art Unit | Filing Date |
| | 020431.0919 | 2161 | October 12, 2001 |

U.S. PATENT DOCUMENTS

| | DOCUMENT NO. | DATE | NAME | CLASS | SUBCLASS | FILING DATE |
|---|--------------|------------|---------------|-------|----------|-------------|
| A | 5,689,652 | 11/18/1997 | Lupien et al. | 395 | 237 | 04/27/1995 |
| B | 5,845,266 | 12/01/1998 | Lupien et al. | 705 | 37 | 12/12/1995 |
| C | 6,098,051 | 08/01/2000 | Lupien et al. | 705 | 37 | 04/26/1996 |
| D | | | | | | |
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FOREIGN PATENT DOCUMENTS

| | DOCUMENT NO. | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION |
|--|--------------|------|---------|-------|----------|-------------|
| | | | | | | YES NO |

NON-PATENT DOCUMENTS

| | DOCUMENT (Including Author, Title, Source, and Pertinent Pages) | DATE |
|---|--|---------------------|
| O | Lian-Sheng Tsai, Director, First Office Action for Patent Application No. 91123498, Mailed, Date of Receipt: March 31, 2004, entitled "Displaying Strikes Between Bids and Asks in a Market over time Using Polygons," 1 page. | Received 03/31/2004 |
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| EXAMINER | DATE CONSIDERED |
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.